**INFORMATION DISCLOSURE TRANSMITTAL**

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
Serial No: 09/928,128
Filed: August 10, 2001
For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
CONFIGURATION POLICY
Examiner: Sean M. Reilly
Art Unit: 2153

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Mail Stop RCE Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on December 9, 2005.

Jan L. Mellen
Jan L. Mellen

Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In keeping with the duty of candor and good faith owed to the Patent and Trademark Office, Applicant wishes to bring information to the attention of the Examiner. The filing of this statement shall not be construed as a representation that a search has been made or as an admission that this information is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

Enclosures

- ☒ A form PTO-1449 listing this information is attached
☒ Copies of documents cited, other than U.S. patents and published U.S. patent applications, are enclosed.
☐ Copies of the cited documents are not enclosed because

Fees

- ☒ This statement is filed before the later of (1) three months of (i) the filing of a national application or (ii) the entry date for the national stage of an international application or (2) the mailing date of a first office action on the merits. No fee is due.
☐ This statement is filed before the mailing date of a final office action, a notice of allowance or an action that otherwise closes prosecution, and
☐ The submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, or
☐ The following certification is made:
☐ each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or

- ☐ no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.
- ☐ This statement is filed on or before payment of the issue fee, the submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, *and*
- ☐ each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or
- ☐ no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

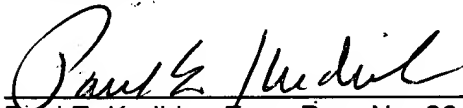
Payment

- ☐ A check in the amount of the submission fee is enclosed.
- ☐ Charge Account No. 02-3038 in the amount of the submission fee. A duplicate of this transmittal sheet is attached.

Authorization to Charge Additional Fees

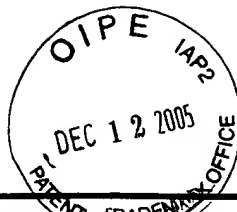
- ☒ The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §1.16 and §1.17 required by the attached paper and during the entire pendency of this application to Account No. 02-3038.

Respectfully submitted,



Date: 12/8/05

Paul E. Kudirka, Esq. Reg. No. 26,931
KUDIRKA & JOBSE, LLP
Customer Number 045774
Tel: (617) 367-4600 Fax: (617) 367-4656



**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 1 of 7**

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
Serial No: 09/928,128
Filed: August 10, 2001
For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
CONFIGURATION POLICY
Examiner: ~~B. E. Edelman~~ *Reilly*
Art Unit: 2153

U.S. PATENT DOCUMENTS

Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
		10/208,958	A1	ALLEN	07/31/02
		20010043617	A1	MCKINNON	11/22/01
		20010049007	A1	YOSHIMOTO, ET AL.	11/22/01
		20020069377	A1	MABUCHI, ET AL.	06/06/02
		20020083169	A1	AKI, ET AL.	06/27/02
		20020113816	A1	MITCHELL, ET AL.	08/22/02
		20020143905	A1	GOVINDARAJAN, ET AL.	10/2002
		20020143920	A1	DEV, ET AL.	10/03/02
		20020147801	A1	GULLOTTA, ET AL.	10/10/02
		20020152305	A1	JACKSON, ET AL.	10/17/02
		20020162010	A1	ALLEN. ET AL.	10/2002
		20020188584	A1	GHANNAM	12/12/02
		20020194407	A1	KIM	12/2002
		20030055972	A1	FULLER, ET AL.	03/20/03
		20030074599	A1	GOLASKY, ET AL.	04/17/03
		20030091037	A1	LATIF, ET AL.	5/2003
		20030093501	A1	CARLSON. ET AL.	5/2003
		20030169289	A1	HOLT	09/11/03
		20030184580	A1	KODOSKY, ET AL.	10/02/03
		2,012,527	B1	BATCHELDER	08/27/35

FOREIGN PATENT DOCUMENTS

Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
		WO	WO0072183	A2	CABLETRON SYSTEMS, INC.	11/30/2000	<input type="checkbox"/>
		WO	WO0130007	A2	IBM; MCDATA CORPORATION	4/26/2001	<input type="checkbox"/>
		WO	WO02089418	A1	THE BOEING COMPANY	11/7/2002	<input type="checkbox"/>
		WO	WO0225870	A1	STORAGEAPPS, INC.	3/28/2002	<input type="checkbox"/>
		WO	WO03014911	A1	SUN MICROSYSTEMS, INC.	2/20/2003	<input type="checkbox"/>
		EP	EP 0 623 876	A1	IBM CORP	11/9/1994	<input type="checkbox"/>
		EP	EP 0 773 649	A2	SUN MICROSYSTEMS, INC.	5/14/1997	<input type="checkbox"/>

Examiner
Signature

Date
Considered

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 2 of 7**

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
Serial No: 09/928,128
Filed: August 10, 2001
For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
CONFIGURATION POLICY
Examiner: ~~B. E. Edelman~~ Reilly
Art Unit: 2153

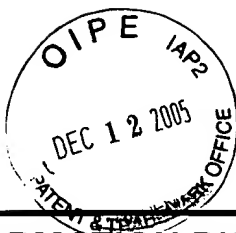
U.S. PATENT DOCUMENTS

Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
		2,675,228	B1	BAIRD, ET AL.	04/13/54
		3,571,677	B1	OESCHGER	03/23/71
		4,138,692	B1	MEEKER	02/06/79
		4,228,219	B1	DE JAGER	10/14/80
		4,558,395	B1	YAMADA	12/10/85
		4,665,466	B1	GREEN	05/12/87
		4,721,996	B1	TUSTANIWSKYJ	01/26/88
		4,729,424	B1	MIZUNO	03/08/88
		4,733,331	B1	CHAUVET	03/22/88
		4,791,983	B1	NICOL	12/20/88
		4,809,134	B1	TUSTANIWSKYJ	02/28/89
		4,870,477	B1	NAKANISHI	09/26/89
		4,882,654	B1	NELSON	11/21/89
		4,977,444	B1	NAKAJIMA	12/11/90
		5,144,531	B1	GO	09/01/92
		5,166,863	B1	SHMUNIS	11/24/92
		5,177,667	B1	GRAHAM	01/05/93
		5,183,104	B1	NOVOTNY	02/02/03
		5,282,847	B1	KOIZUMI	02/01/94
		5,305,461	B1	FEINENBAUM, ET AL.	4/1994

FOREIGN PATENT DOCUMENTS

Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
		EP	EP 1 111 840	A2	NORTEL NETWORKS LIMITED	6/27/2001	<input type="checkbox"/>
		GB	GB 2 344 963	A1	NORTEL NETWORKS CORP	6/21/2000	<input type="checkbox"/>
		GB	GB 2 354 611	A1	IBM CORP	3/28/2001	<input type="checkbox"/>
		WO	WO9842102	A1	CROSSKEYS SYSTEMS CORPORATION	9/24/1998	<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>

Examiner
SignatureDate
Considered



**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 3 of 7**

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
Serial No: 09/928,128
Filed: August 10, 2001
For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
CONFIGURATION POLICY
Examiner: ~~B. E. Edelman~~ *Reilly*
Art Unit: 2153

U.S. PATENT DOCUMENTS

Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
		5,323,847	B1	KOIZUMI	06/28/94
		5,406,807	B1	ASHIWAKE	04/18/95
		5,465,192	B1	YOSHIKAWA	11/07/95
		5,504,858	B1	ELLIS, ET AL.	04/02/96
		5,535,094	B1	NELSON	07/09/96
		5,588,119	B1	VINCENT	12/24/96
		5,675,473	B1	MCDUNN	10/07/97
		5,701,045	B1	YOKOZAWA	12/23/97
		5,706,668	B2	HILPERT	01/13/98
		5,751,933	B1	DEV	05/12/98
		5,771,388	B1	MONDRIK, ET AL.	6/1998
		5,912,802	B1	NELSON	06/15/99
		5,940,269	B1	KO	08/17/99
		5,956,750	B1	YAMAMOTO, ET AL.	09/21/99
		6,006,251	B1	TOYOUCHI, ET AL.	12/21/99
		6,029,742	B1	BURWARD-HOY	02/29/00
		6,031,528	B1	LANGFAHL	02/29/00
		6,050,327	B1	GATES	04/18/00
		6,058,426	B1	GODWIN, ET AL.	5/2000
		6,067,545	B1	WOLFF	5/2000

FOREIGN PATENT DOCUMENTS

Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>

Examiner
Signature

Date
Considered



**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT Sheet 4 of 7**

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
Serial No: 09/928,128
Filed: August 10, 2001
For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
CONFIGURATION POLICY
Examiner: ~~B. E. Edelman~~ *Reilly*
Art Unit: 2153

U.S. PATENT DOCUMENTS

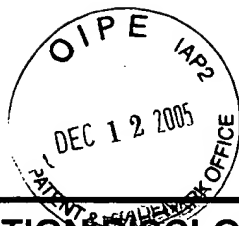
Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
		6,067,559	B1	ALLARD, ET AL.	5/2000
		6,101,616	B1	JOUBERT	08/08/00
		6,118,776	B1	BERMAN	09/12/00
		6,119,118	B1	KAIN, ET AL.	9/2000
		6,125,924	B1	LIN	10/03/00
		6,130,820	B1	KONSTAD	10/10/00
		6,135,200	B1	OKOCHI	10/24/00
		6,137,680	B1	KODAIRA	10/24/00
		6,144,379	B1	BERTRAM	11/07/00
		6,151,031	B1	ATKINS, ET AL.	11/2000
		6,151,331	B1	WILSON	11/21/00
		6,182,142	B1	WIN, ET AL.	01/30/01
		6,205,796	B1	CHU	03/27/01
		6,205,803	B1	SCARINGE	03/27/01
		6,213,194	B1	CHRYSLER	04/10/01
		6,229,538	B1	MCINTYRE	05/08/01
		6,301,605	B1	NAPOLITANO, ET AL.	10/09/01
		6,313,990	B1	CHEON	11/06/01
		6,314,555	B1	NDUMU, ET AL.	11/2001
		6,381,637	B1	KAMADA	04/30/02

FOREIGN PATENT DOCUMENTS

Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>

Examiner
Signature

Date
Considered



INFORMATION DISCLOSURE STATEMENT BY APPLICANT Sheet 5 of 7

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
 Serial No: 09/928,128
 Filed: August 10, 2001
 For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
 CONFIGURATION POLICY
 Examiner: ~~B. E. Edelman~~ *Reilly*
 Art Unit: 2153

U.S. PATENT DOCUMENTS

Exam Inits	Cite No.	Patent Number	Kind Code	Patentee or Applicant Name	Issue Date
		6,392,667	B1	MCKINNON, ET AL.	5/2002
		6,396,697	B1	CHEN	05/28/02
		6,408,336	B1	SCHNEIDER, ET AL.	06/18/02
		6,425,005	B1	DUGAN	7/2002
		6,425,007	B1	MESSINGER	07/23/02
		6,438,984	B1	NOVOTNY	08/27/02
		6,463,454	B1	LUMELSKY, ET AL.	10/08/02
		6,477,572	B1	ELDERTON	11/05/02
		6,487,643	B1	KHARE, ET AL.	11/2002
		6,496,871	B1	JAGANNATHAN, ET AL.	12/17/02
		6,505,244	B1	NATARAJAN, ET AL.	01/07/03
		6,526,768	B1	WALL	03/04/03
		6,542,360	B1	KOIZUMI	04/01/03
		6,574,708	B1	HAYTER, ET AL.	6/03
		6,587,343	B1	NOVOTNY	07/01/03
		6,604,137	B2	COWAN	08/05/03
		6,628,304	B2	MITCHELL	09/30/03
		6,636,239	B1	ARQUIE	10/21/03
		6,658,526	B2	NGUYEN, ET AL.	12/2003
		6,714,936	B1	NEVIN	03/30/04
		6,775,700	B1	CHENG, ET AL.	08/10/04
		6,799,208	B1	SANKARANARAYAN, ET AL.	9/2004
		6,823,382	B2	STONE	11/2004
		6,845,395	B1	BLUMENAU, ET AL.	01/18/05
		6,871,232	B2	CURIE, ET AL.	3/2005

FOREIGN PATENT DOCUMENTS

Exam Inits	Cite No.	Cy	Number	Kind Code	Patentee or Applicant Name	Publication Date	T
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>

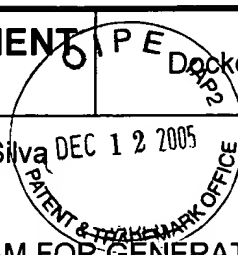
Examiner
Signature

Date
Considered

INFORMATION DISCLOSURE STATEMENT BY APPLICANT Sheet 6 of 7

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
 Serial No: 09/928,128
 Filed: August 10, 2001
 For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
 CONFIGURATION POLICY
 Examiner: ~~B. E. Edelman~~ *Reilly*
 Art Unit: 2153



OTHER PRIOR ART – NON PATENT LITERATURE AND DOCUMENTS

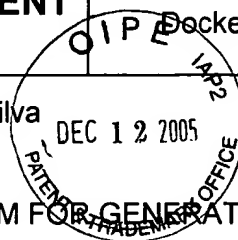
Exam Inits	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the articles (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
		ANONYMOUS, "Jiro Technology Technical Overview", URL:http://sunsolve.sun.com/kmsattachments/22961, 2000	<input type="checkbox"/>
		ANONYMOUS, "Sun's Managed Storage Networks", URL:http://sunsolve.sun.com/kmsattachments/22955, 2000	<input type="checkbox"/>
		ANONYMOUS, "Jiro Technical Overview White Paper, Free White Papers/Tech Bulletins, Sun-Solve Search Result", URL:http://sunsolve.sun.com/pub- cgi/retrieve.pl?doc=fwpaper/22961@zone_32=jiro, June 28, 2000	<input type="checkbox"/>
		ANONYMOUS, "Managed Storage Networks White Paper, Free White Papers/Tech Bulletins, Sun-Solve Search Result", URL:http://sunsolve.sun.com/pub- cgi/retrieve.pl?doc=fwpaper/22955@zone_32=managed, June 28, 2000	<input type="checkbox"/>
		ANONYMOUS, "Introduction to Jiro Technology, Javaone - Sun's 2000 Worldwide Java Developer Conference", URL:http://servlet.java.sun.com/javaone/javaone2000/pdfs/TS-1156.pdf, November 24, 2003	<input type="checkbox"/>
		ANONYMOUS, "Jini: New Technology for a Networked World", URL:http://javaworld.com/javaworld/jw-06-1999/jw-06-jiniology_p.html, June 30, 1999, Pages 1-5	<input type="checkbox"/>
		ANONYMOUS, "Pattern: Blackboard", http://www.vico.org/pages/Patrons%20Blackboard, July 12, 2002, Pages 1-2	<input type="checkbox"/>
		BLAKE, "An Agent-Based Cross-Organizational Workflow Architecture in Support of Web Services", Proceedings of 11th IEEE Int'l Workshops on Enabling Tech., 2002 IEEE, Computer Science	<input type="checkbox"/>
		BRENT KNIGHT, "Reducing the Complexity of Managing Private Loops", 2000, 1-11	<input type="checkbox"/>

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

INFORMATION DISCLOSURE STATEMENT BY APPLICANT Sheet 7 of 7

Docket No. P6202-US-NP-

Applicant: Mark A. Carlson and Rowan E. da Silva
 Serial No: 09/928,128
 Filed: August 10, 2001
 For: METHOD, SYSTEM AND PROGRAM FOR GENERATING AND USING
 CONFIGURATION POLICY
 Examiner: ~~B. E. Edelman~~ Reilly
 Art Unit: 2153



OTHER PRIOR ART – NON PATENT LITERATURE AND DOCUMENTS

Exam Inits	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the articles (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
		BUSHMAN, "Pattern Oriented Software Architecture, A System of Patterns", 1996, Pgs 71-95, John Wiley & Sons, New York	<input type="checkbox"/>
		CAZALENS, ET AL., "A Web Site Indexing Process for an Internet Information Retrieval Agent System", Unknown, 2000 IEEE, 254-258, Unknown, Nantes Cedex	<input type="checkbox"/>
		DUPUY, ET AL., "NETMATE: A NETWORK MANAGEMENT ENVIRONMENT", IEEE NETWORK, March 5, 1991, 35-40, 43, New York	<input type="checkbox"/>
		FINKE, ET AL., "Distribution and Inheritance in the HERON Approach to Heterogeneous Computing", Proceedings of the Int'l Conf on Distributed Computing Systems, May 25, 1993, 399-408, IEEE Comp Soc Press, Los Alamitos	<input type="checkbox"/>
		MARTIN, JEAN-CHRISTOPHE, "Policy-Based Networks", URL: http://www.sun.com/solutions/blueprints/1099/policy.pdf , Date Unknown	<input type="checkbox"/>
		MUKHOPADHA, ET AL., "Multi-Agent Markov Decision Processes With Limited Agent Communication", Proceedings of the 2001 IEEE, Sept. 5-7, 2001, Pgs. 7-12, Mexico City	<input type="checkbox"/>
		RICHARD, "Fibre Channel as a Network Backbone", WESCON/94, IDEA/MICROELECTRONICS, Conference record Anaheim, Date Unknown, 653-659, New York	<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--